



**In the United States Patent and Trademark Office**

Application No.: 09/839476  
Filed: 4/20/2001  
Title: System and Methods for Recognizing Sound and Music Signals in High Noise and Distortion  
Applicant(s): Avery Li-Chun Wang  
Examiner: McFadden, Susan Iris  
Art Unit: 2655

Mailed June 8, 2005  
Palo Alto, CA

**Information Disclosure Statement**

Commissioner of Patents and Trademarks  
Alexandria, VA 22313

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record.

**Part I (Authority)**

This statement is filed pursuant to:

( ) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national application; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first office action on the merits, or (4) before the mailing of a first Office action after the filing of an RCE under § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

(X) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a certification according to 37 C.F.R. § 1.97(e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17(p) (\$180) and a certification according to 37 C.F.R. § 1.97(e).

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**Conditional Petition**

01 FC:1806

180.00 OP

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). Please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## Part II (Payment)

A check is enclosed as indicated:

- ☐ No fee is due.
- ☒ The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) or 37 C.F.R. § 1.97(d) is enclosed (\$180).

## Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ No certification is necessary.
- ☐ Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- ☐ No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

## Part IV (Additional Statement)

An additional statement regarding these items of information ☐ is, ☒ is not, enclosed.

Copies of the cited documents ☒ are enclosed, ☐ are of record in parent application Serial No. \_\_\_\_\_ and will be provided if the Examiner deems it convenient.

Dated: *June 8, 2005*

Respectfully submitted,



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FOR PTO FORM 149 U.S. DEPARTMENT OF COMMERCE	ATTY. DOCKET NO. SHZ-101/US	SERIAL NO. 09/839476
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<b>LIST OF DOCUMENTS CITED BY APPLICANT</b> (Use several sheets if necessary)	APPLICANT Avery Li-Chun Wang	
	FILING DATE 4/20/2001	GROUP 2655

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	RELEVANT INFORMATION
	A	5	2	7	6	6	2	9	01/04/1994	Reynolds	364/487
	B	5	4	0	0	2	6	1	03/21/1995	Reynolds	364/487
	C	6	5	7	0	0	8	0	05/27/2003	Hasegawa et al.	84/609
	D	6	7	4	8	3	6	0	06/08/2004	Pitman et al.	704/270
	E	6	8	3	4	3	0	8	12/21/2004	Ikezoye et al.	709/231

**FOREIGN PATENT DOCUMENTS**

		2- letter code	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
						YES	NO
	F	WO	01/04870A	18.01.2001		yes	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	G	Matthew L. Miller et al., "Audio Fingerprinting: Nearest Neighbor Search in High Dimensional Binary Spaces," IEEE Multimedia Signal Processing Workshop 2002, St. Thomas, US Virgin Islands
	H	Erling Wold et al., "Content-Based Classification, Search, and Retrieval of Audio," in IEEE Multimedia, Vol. 3, No. 3: Fall 1996, pp. 27-36
	I	C. Yang, "Music Database Retrieval Based on Spectral Similarity," Stanford University Database Group Technical Report 2001-14, <a href="http://citeseer.ist.psu.edu/yang01music.html">http://citeseer.ist.psu.edu/yang01music.html</a> , submitted March 28, 2001, 9 pages, [Retrieved from the Internet on 6/6/05] [Retrieved from URL://http://citeseer.ist.psu.edu/yang01music.html]

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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\* **EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.